

## APPENDIX H: INSTRUCTIONS AND TIPS FOR USING THE PROVIDER MONITORING REPORT EXCEL FILES

Two Excel files have been provided. Both files contain the same worksheets; however:

- **Provider Monitoring Report Showing Rating Choices.xls** -- This file has been formatted to print each monitoring worksheet showing the possible rating options for each element. To conserve paper when printing, the worksheets that contain multiple columns for documenting the results of multiple document reviews and interviews have been formatted to hide columns after the first 5 columns. Because the monitoring report is linked to the monitoring worksheets, and ratings have been entered on the monitoring worksheets, the monitoring report and scoring sheet show results. Fictitious provider and LME identifying information have been added to make the worksheets and monitoring report into a sample report. Printing the monitoring worksheets (Worksheets #1 through #6) and provider monitoring report worksheet provides a copy of each monitoring worksheet with rating options and provides an example of what the report may look like when it is completed.
- **Provider Monitoring Report Template.xls** -- This file is the report template to be used to create separate provider monitoring report files for individual providers. Provider and LME identifying information and ratings are blank. Do not write in this file. Instead, copy the file and rename it to something that will easily identify the provider being monitored and the date monitored (e.g. Monitoring Report - XYZ Provider 7-28-08.xls).

**File (Workbook) Layout.** The file contains 16 worksheets. As explained below, reviewers enter identifying information on the “Identification” worksheet at the beginning of the workbook and their findings and comments on Worksheets #1 through #6. The workbook automatically takes identifying information from the “Identification” worksheet and enters it into all applicable worksheets, uses findings to calculate ratings and points earned, completes the provider monitoring report and score sheet, and completes a database extract that can be copied and pasted into a provider monitoring database for tracking the results of all providers and multiple monitoring visits.

The name, purpose, and instructions for using each worksheet are provided below:

- **Identification** (orange color tab) -- This worksheet is provided to enter provider and LME identifying information and date of review. The information entered on this worksheet is automatically copied to the other worksheets in the workbook (where appropriate) so that this information need only be entered once.
- **Provider Monitoring Report** (green color tab) -- This worksheet creates the summary report of the results of the monitoring and shows the rating for each element, the action required, and comments extracted from the monitoring worksheets (Worksheets #1 through #6). This report is automatically generated when ratings and comments are entered into the individual monitoring worksheets.

Ratings and actions required are automatically color coded (using conditional formatting) to make the report easier for the reader to visually scan. Cell shading for “High” scores will turn green, “Moderate” scores will turn yellow, and “Low” scores will turn orange. The font color for the “action required” automatically changes to blue for “REC”, orange for “POC”, and red for “POC-FM”. The key to the “action required” abbreviations prints on the footer of each page of the report.

This worksheet is formatted to print an 11 page report to give to the Provider showing the results of the monitoring.

- **Ratings & Actions Summary Sheet** (green color tab) -- This worksheet is a companion to the Provider Monitoring Report worksheet and provides a one page summary of ratings and actions required for each element from that worksheet. It also provides a count of the number of elements rated “High”, “Moderate”, “Low”, and “Not Rated” and a count of the number of elements that require “No Action”, “REC”, “POC”, and “POC-FM”. This worksheet uses the same conditional formatting color scheme used by the Provider Monitoring Report worksheet to color code ratings and actions required. This worksheet is automatically generated when ratings and comments are entered into the individual monitoring worksheets (Worksheets #1 through #6). This worksheet should be printed and given to the provider as a high level summary of ratings and actions required.
- **Score Sheet** (orange color tab) -- This worksheet is for internal LME use and is not intended to be given to the provider as part of the provider monitoring report. It scores the monitoring tool and calculates the total points earned out of the 200 points possible. This worksheet shows the weighting that has been assigned to each domain and element (blue shaded cells), the number of points each is worth, the reviewers’ ratings (from Worksheets #1 through #6), the number of points earned for each element (based on the reviewer’s rating), the provider’s total points earned, and whether these points fall into the “High”, “Moderate”, or “Low” range. The total points earned and performance range may be useful to LMEs for the purpose of setting priorities related to follow-up actions and for monitoring a provider’s performance and progress over time. This worksheet is automatically generated when ratings are entered in the individual monitoring worksheets.

If any of the elements on the monitoring worksheets (Worksheets #1 through #6) is marked “Not Rated”, the score sheet automatically redistributes the points for that element to the other elements in the domain so that the total points each domain is worth remains constant. If this occurs, the worksheet shows how the points are redistributed.

Should a decision be made in the future to do so, the worksheet is designed to make it easy to change the weighting for any of the domains or elements. If a change is needed, only the numbers or percentages in the blue shaded cells should be changed. The worksheet will automatically adjust the points possible and scoring for the affected domain(s) and element(s). This worksheet should be printed and attached to the end of the Provider Monitoring Report to show how the total points were calculated.

- **Copy Row3 to Database** (orange color tab) -- This worksheet provides a summary of the results of the monitoring on a **single spreadsheet row** in a format that can be copied into an Excel database for tracking and analysis of the results of monitoring for multiple providers and monitoring visits. This worksheet is linked to other worksheets in the file and automatically collects provider and LME identifying information, the date of the review, total points, the highest action required, and individual ratings and actions required for each element and places it on a single row for easy export to an external database. This worksheet is provided to LMEs that wish to consolidate, track, and analyze the results of all providers they are responsible for monitoring.

**CAUTION:** The information on this row should be copied and the values pasted into a Provider Monitoring Database using the “Paste Special” command -- NOT the

“Paste” command. Using the **“Paste Special”** command to **“Paste Values”** will copy the actual values (e.g. the numbers and words that appear on this row) into the database. In contrast, the “Paste” command will copy only the formulas and links to the database rather than the values generated by those formulas and links and may cause the database to not work properly.

- **Database** (yellow color tab) -- This worksheet provides a database that can be used to consolidate, track, and analyze the results of provider monitoring visits **for multiple providers or multiple reviews**. It is designed to receive the data generated by the “Copy Row3 to Database” worksheet from the many provider monitoring files that will be created for the individual reviews.

It is recommended that this worksheet be copied or moved **to another Excel file** that will serve as the database.

When copying this worksheet to another Excel file that will serve as a provider monitoring database file, the easiest and most effective way to copy this worksheet is to use the shortcut menu associated with the worksheet tab at the bottom of the worksheet. Using this method will maintain the column width and row height formatting and print settings from the source file.

To copy the database, do the following:

- **Right click** on the yellow colored **worksheet tab** (named “Database”) at the bottom of the worksheet. (This will cause a shortcut menu to appear)
- On the shortcut menu, **select** (left click) **“Move or Copy...”**. (This will cause the Move or Copy dialogue box to appear)
- In the **“To book:”** drop-down box at the top of the dialogue box, **select “(new book)”**.
- **Check** the **“Create a copy”** checkbox at the bottom of the dialogue box. (If you leave this checkbox blank, the worksheet will be moved to the new file instead of copied to it.)
- **Select** (left click) the **“OK”** button at the bottom of the dialogue box, or press **“Enter”** on your keyboard.
- A **warning message** will pop-up on your screen informing you: “The sheet you are copying has cells that contain more than 255 characters. When you copy the entire sheet, only the first 255 characters in each cell are copied. To copy all of the characters, copy the cells to a new sheet instead of copying the entire sheet.”
- **Select** (left click) the **“OK”** button on the warning message. (The warning message will disappear, and the worksheet will be copied into a new Excel workbook -- with some of the cells truncated at 255 characters.)
- To fix the truncation problem, **unprotect** the worksheet in the **new workbook**.
- **Return** to the **source file** from which you copied the “Database” worksheet.
- **Left click** the **blank gray-colored cell** at the **top left corner** of the worksheet at the intersection of the gray-colored column and row headers (above row 1 and to the left of column A). (This will select and highlight all cells in the source file worksheet.)

- **Copy** the source file **worksheet** to Excel's clipboard (there are multiple ways to do this -- press the "Copy" shortcut button on the toolbar, use the Edit drop-down menu and select "Copy", or press the "Ctrl" and "C" keys simultaneously). (Flashing dotted lines will appear around the borders of the worksheet showing that everything has been copied to the clipboard. This includes data from cells that exceed 255 characters.)
- **Return** to the **new workbook** (destination file) that you created earlier.
- **Left click** the **blank gray-colored cell** at the **top left corner** of the worksheet at the intersection of the gray-colored column and row headers (above row 1 and to the left of column A). (This will select and highlight all cells in the destination file worksheet.)
- **Paste** the information that was copied to the clipboard onto the destination worksheet (there are multiple ways to do this -- press the "Paste" shortcut button on the toolbar, use the Edit drop-down menu and select "Paste", or press the "Ctrl" and "V" keys simultaneously). (The "Database" worksheet in the destination file will now be identical to the "Database" worksheet from the source file)
- **Protect** the destination **worksheet** in the **new workbook**.
- **Save** and **name** the **new workbook file** with your database.

The values copied from the "Copy Row3 to Database" worksheet of individual provider monitoring files should be pasted into this database using the "**Paste Special**" command to "**Paste Values**" as described above in the "CAUTION" section of the "Copy Row3 to Database" worksheet description.

The data for the results of multiple providers and reviews can be analyzed using the built-in "autofilters" on row 4 of the database combined with the "subtotal" formulas on row 2 of the database. The database can also be analyzed using pivot tables (not provided).

"Autofilters" allow one to search for specific records (rows) or for records that meet specific criteria or conditions. "Autofilters" automatically hide rows that do not meet the criteria or conditions filtered and show only those records that meet the criteria or condition.

The "subtotal" formulas work with "autofilters" to count, sum or average values (depending upon which variation of the formula is used) for the entries that meet the criteria or conditions designated by the "autofilters" selected. The subtotal formulas evaluate the values for the first 35,000 rows of the database. The formulas can be adjusted if the rows of data entered into the database exceed 35,000 rows. However, it is not expected that this will need to be done.

The database has been conditionally formatted to show "ratings" and "actions required" using the same color scheme used by the Provider Monitoring Report worksheet.

Additional columns can be added to the database, as needed, to allow LMEs to collect and analyze additional information related to provider monitoring.

- **#1 Provider Documentation** (gray color tab) -- This worksheet is the first of the provider monitoring worksheets for use by reviewers during the monitoring visit. It is designed to evaluate organizational elements of the provider's operations and as such has one column for entering findings.

Enter the name(s) of the reviewer(s) responsible for completing this worksheet in the appropriate cell at the top of the worksheet. If nothing is entered (i.e. the cell is blank), the cell will be highlighted yellow and a reminder (in blue font) will appear next to the cell.

To electronically rate each **subelement**, if worksheet protection is turned on, double-click the corresponding cell in the "Rating" column and select a rating from the drop-down menu provided. The worksheet will automatically calculate an overall "rating" for the **element** and will enter this "rating" in the appropriate place on the "Provider Monitoring Report" worksheet.

Enter relevant comments or notes in the cell provided for "Comments & Notes". Comments entered here will automatically be entered in the "Comments" column for the element in the "Provider Monitoring Report" worksheet. Comments are required if the element is rated "Not Rated" or receives less than full credit. If this is the case, and a comment has not been entered, the "Comments & Notes" row will be highlighted yellow.

Print this worksheet to provide details how each subelement reviewed was rated and how the overall rating for the element was calculated.

- **#2 Personnel Documentation** (gray color tab) -- This worksheet is the second of the provider monitoring worksheets for use by reviewers during the monitoring visit. It is designed to evaluate a sample of personnel records and has 30 columns for entering findings (labeled Staff #1, Staff #2, etc). Depending on the size of the provider's organization and the number of services being monitored, it is possible that not all columns will be needed. The worksheet is designed to print 5 columns per page. To conserve paper when printing, hide unused columns in groups of 5 (e.g. Staff #6 - #10, Staff #11 - #15, etc) prior to printing. Do not hide the last column labeled "Rating". This column needs to be included in the report when printed.

Enter the name(s) of the reviewer(s) responsible for completing this worksheet in the appropriate cell at the top of the worksheet. If nothing is entered (i.e. the cell is blank), the cell will be highlighted yellow and a reminder (in blue font) will appear next to the cell.

To electronically rate each **subelement**, if worksheet protection is turned on, double-click the corresponding cell in the appropriate column (labeled Staff #1, Staff #2, etc), and select a rating from the drop-down menu provided. The worksheet will automatically calculate an overall "rating" for the element and will enter this "rating" in the appropriate place on the "Provider Monitoring Report" worksheet.

If for some reason all documents in the sample are "Not Rated" for a given subelement, it is only necessary to enter "Not Rated" in one of the cells on this row. The other cells on this row can be left blank. The worksheet will see the one "Not Rated" on the row and will calculate the subelement as "Not Rated".

Enter relevant comments or notes in the cell provided for "Comments & Notes". Comments entered here will automatically be entered in the "Comments" column for the element in the "Provider Monitoring Report" worksheet. Comments are required if the element was rated "Not Rated" or received less than full credit. If this is the case, and a comment has not been entered, the "Comments & Notes" row will be highlighted yellow.

As was mentioned earlier, this worksheet is formatted to print 5 columns per page. This was done to accommodate cases where up to 5 records per service

might be reviewed. The cells in the “Comments & Notes” row for these 5 columns have been merged to facilitate entry of any comments and notes for this sample.

Print this worksheet to provide details how each subelement reviewed was rated and how the overall rating for the element was calculated.

- **#3 Personnel Interview** (gray color tab) -- This worksheet is the third of the provider monitoring worksheets for use by reviewers during the monitoring visit. It is designed to evaluate data obtained from a sample of staff interviews and has 10 columns for entering findings (labeled Interview #1, Interview #2, etc). Depending on the size of the provider’s organization and the number of services being monitored, it is possible that not all columns will be needed. The worksheet is designed to print 5 columns per page. To conserve paper when printing, hide unused columns in groups of 5 (e.g. Interview #6 - #10) prior to printing. Do not hide the last column labeled “Rating”. This column needs to be included in the report when printed.

Enter the name(s) of the reviewer(s) responsible for completing this worksheet in the appropriate cell at the top of the worksheet. If nothing is entered (i.e. the cell is blank), the cell will be highlighted yellow and a reminder (in blue font) will appear next to the cell.

To electronically rate each element/subelement, if worksheet protection is turned on, double-click the corresponding cell in the appropriate column (labeled Interview #1, Interview #2, etc), and select a rating from the drop-down menu provided. The worksheet will automatically calculate an overall “rating” for the element and will enter this “rating” in the appropriate place on the “Provider Monitoring Report” worksheet.

If for some reason all interviews in the sample are “Not Rated” for a given subelement, it is only necessary to enter “Not Rated” in one of the cells on this row. The other cells on this row can be left blank. The worksheet will see the one “Not Rated” on the row and will calculate the subelement as “Not Rated”.

Enter relevant comments or notes in the cell provided for “Comments & Notes”. Comments entered here will automatically be entered in the “Comments” column for the element in the “Provider Monitoring Report” worksheet. Comments are required if the element was rated “Not Rated” or received less than full credit. If this is the case, and a comment has not been entered, the “Comments & Notes” row will be highlighted yellow.

As was mentioned earlier, this worksheet is formatted to print 5 columns per page. This was done to accommodate cases where up to 5 records per service might be reviewed. The cells in the “Comments & Notes” row for these 5 columns have been merged to facilitate entry of any comments and notes for this sample.

The first row of Element 2C contains additional space (one cell per column) for writing “Optional Notes”. If used, any notes entered in these cells will appear only on this worksheet. They are not linked to any other worksheets and will not appear anywhere else.

Print this worksheet to provide details how each element/subelement reviewed was rated and how the overall rating for the element was calculated.

- **#4 Individual Record** (gray color tab) -- This worksheet is the fourth of the provider monitoring worksheets for use by reviewers during the monitoring visit. It is designed

to evaluate a sample of individual records and has 30 columns for entering findings (labeled Record #1, Record #2, etc). Depending on the size of the provider's organization and the number of services being monitored, it is possible that not all columns will be needed. The worksheet is designed to print 5 columns per page. To conserve paper when printing, hide unused columns in groups of 5 (e.g. Record #6 - #10, Record #11 - #15, etc) prior to printing. Do not hide the last column labeled "Rating". This column needs to be included in the report when printed.

Enter the name(s) of the reviewer(s) responsible for completing this worksheet in the appropriate cell at the top of the worksheet. If nothing is entered (i.e. the cell is blank), the cell will be highlighted yellow and a reminder (in blue font) will appear next to the cell.

To electronically rate each element/subelement, if worksheet protection is turned on, double-click the corresponding cell in the appropriate column (labeled Record #1, Record #2, etc), and select a rating from the drop-down menu provided. The worksheet will automatically calculate an overall "rating" for the element and will enter this "rating" in the appropriate place on the "Provider Monitoring Report" worksheet.

If for some reason all records in the sample are "Not Rated" for a given subelement, it is only necessary to enter "Not Rated" in one of the cells on this row. The other cells on this row can be left blank. The worksheet will see the one "Not Rated" on the row and will calculate the subelement as "Not Rated".

Enter relevant comments or notes in the cell provided for "Comments & Notes". Comments entered here will automatically be entered in the "Comments" column for the element in the "Provider Monitoring Report" worksheet. Comments are required if the element was rated "Not Rated" or received less than full credit. If this is the case, and a comment has not been entered, the "Comments & Notes" row will be highlighted yellow.

As was mentioned earlier, this worksheet is formatted to print 5 columns per page. This was done to accommodate cases where up to 5 records per service might be reviewed. The cells on the "Comments & Notes" row for these 5 columns have been merged to facilitate entry of any comments and notes for this sample.

Print this worksheet to provide details how each element/subelement reviewed was rated and how the overall rating for the element was calculated.

- **#5 Individual Interview** (gray color tab) -- This worksheet is the fifth of the provider monitoring worksheets for use by reviewers during the monitoring visit. It is designed to evaluate data obtained from a sample of interviews with consumers and/or their legally responsible person. It has 10 columns for entering findings (labeled Record #1, Record #2, etc). The column is labeled to identify the Record # of the consumer that is the subject of the interview. Depending on the size of the provider's organization and the number of services being monitored, it is possible that not all columns will be needed. The worksheet is designed to print 5 columns per page. To conserve paper when printing, hide unused columns in groups of 5 (e.g. Record #6 - #10) prior to printing. Do not hide the last column labeled "Rating". This column needs to be included in the report when printed.

Enter the name(s) of the reviewer(s) responsible for completing this worksheet in the appropriate cell at the top of the worksheet. If nothing is entered (i.e. the cell

is blank), the cell will be highlighted yellow and a reminder (in blue font) will appear next to the cell.

To electronically rate each element/subelement, if worksheet protection is turned on, double-click the corresponding cell in the appropriate column (labeled Record #1, Record #2, etc), and select a rating from the drop-down menu provided. The worksheet will automatically calculate an overall “rating” for the element and will enter this “rating” in the appropriate place on the “Provider Monitoring Report” worksheet.

If for some reason all interviews in the sample are “Not Rated” for a given subelement, it is only necessary to enter “Not Rated” in one of the cells on this row. The other cells on this row can be left blank. The worksheet will see the one “Not Rated” on the row and will calculate the subelement as “Not Rated”.

Enter relevant comments or notes in the cell provided for “Comments & Notes”. Comments entered here will automatically be entered in the “Comments” column for the element in the “Provider Monitoring Report” worksheet. Comments are required if the element was rated “Not Rated” or received less than full credit. If this is the case, and a comment has not been entered, the “Comments & Notes” row will be highlighted yellow.

As was mentioned earlier, this worksheet is formatted to print 5 columns per page. This was done to accommodate cases where up to 5 records per service might be reviewed. The cells in the “Comments & Notes” row for these 5 columns have been merged to facilitate entry of any comments and notes for this sample.

Elements 4C, 4E, 5A, and 6A contain additional space (one cell per column) for writing “Optional Notes”. If used, any notes entered in these cells will appear only on this worksheet. They are not linked to any other worksheets and will not appear anywhere else.

Print this worksheet to provide details how each element/subelement reviewed was rated and how the overall rating for the element was calculated.

- **#6 Incidents & Complaints** (gray color tab) -- This worksheet is the sixth and final provider monitoring worksheet for use by reviewers during the monitoring visit. It is designed to evaluate a sample of incidents and complaints and has 15 columns for entering findings (labeled Sample #1, Sample #2, etc). Depending on the size of the provider’s organization and the number of services being monitored, it is possible that not all columns will be needed. The worksheet is designed to print 5 columns per page. To conserve paper when printing, hide unused columns in groups of 5 (e.g. Sample #6 - #10 or Sample #11 - #15) prior to printing. Do not hide the last column labeled “Rating”. This column needs to be included in the report when printed.

Enter the name(s) of the reviewer(s) responsible for completing this worksheet in the appropriate cell at the top of the worksheet. If nothing is entered (i.e. the cell is blank), the cell will be highlighted yellow and a reminder (in blue font) will appear next to the cell.

To electronically rate each element/subelement, if worksheet protection is turned on, double-click the corresponding cell in the appropriate column (labeled Sample #1, Sample #2, etc), and select a rating from the drop-down menu provided. The worksheet will automatically calculate an overall “rating” for the



element and will enter this “rating” in the appropriate place on the “Provider Monitoring Report” worksheet.

If for some reason all documents in the sample are “Not Rated” for a given subelement, it is only necessary to enter “Not Rated” in one of the cells on this row. The other cells on this row can be left blank. The worksheet will see the one “Not Rated” on the row and will calculate the subelement as “Not Rated”.

Enter relevant comments or notes in the cell provided for “Comments & Notes”. Comments entered here will automatically be entered in the “Comments” column for the element in the “Provider Monitoring Report” worksheet. Comments are required if the element was rated “Not Rated” or received less than full credit. If this is the case, and a comment has not been entered, the “Comments & Notes” row will be highlighted yellow.

As was mentioned earlier, this worksheet is formatted to print 5 columns per page. This was done to accommodate cases where up to 5 records per service might be reviewed. The cells in the “Comments & Notes” row for these 5 columns have been merged to facilitate entry of any comments and notes for this sample.

Print this worksheet to provide details how each element/subelement reviewed was rated and how the overall rating for the element was calculated.

- **Rating Choices** (orange color tab) -- This worksheet was created as a reference for reviewers who may not have access to a computer during the monitoring visit and who must instead use printed worksheets to document findings. This worksheet lists the elements/subelements contained in the 6 provider monitoring worksheets (Worksheets #1 through #6) and the possible rating choices for each. It can be printed and carried as a reference guide.

An alternative to printing this worksheet is to print Worksheets #1 through #6 from the file named “**Provider Monitoring Report Showing Rating Choices.xls**”. As explained earlier, this file is formatted to print the first 5 columns of each provider monitoring worksheet and shows the rating choices for each element/subelement on the actual monitoring worksheet.

The difference between the two options is:

- The “**Rating Choices**” worksheet does not look exactly like the provider monitoring worksheets. It contains the information about the element/subelement in the Documentation or Interview column (second column), and it contains the possible rating choices for each. It does not contain the “Key Elements” column (first column), “Comments & Notes” rows, or “Rating” column (last column).
- The “**Provider Monitoring Report Showing Rating Choices.xls**” file prints the 6 provider monitoring worksheets exactly as they appear in the report along with all possible rating choices shown on each worksheet.

Both options are offered for reviewer convenience.

- **Ratings and Actions Required** (orange color tab) -- This worksheet is provided for information only. It provides a table listing the “Action Required” for each key element for each possible rating and the cutoff for a “Low” rating. The formulas in the “Action Required” column of the Provider Monitoring Report worksheet automatically generate the action required listed in this table.

As the table shows, a “High” rating or “Not Rated” consistently requires no action. However, the actions required for “Moderate” and “Low” ratings vary for each key element depending on the nature of the element. For example, for key element **“1A1 - QM Plan (Documentation)”**, a “Moderate” rating requires a “POC” (Plan of Correction), and a “Low” rating also requires a “POC”. However, for key element **“1A2 - QM Plan/Activities (Staff Understanding)”**, both the “Moderate” and “Low” ratings require only a “REC” (Recommendation for Improvement).

The table also lists the cutoff for a low rating for each key element. For monitoring worksheet #1, the ratings are based on “qualitative” criteria. For the other monitoring worksheets (#2 - #6), the ratings are generally based on the percentage of records reviewed or interviews conducted that meet criteria.

As the table shows, several key elements allow only two possible ratings - “High” or “Low”. There is no “Moderate” rating for these elements. In these cases, the cutoff percentage for a “Low” rating is higher than that required for the other key elements.

- **Effective Sample Size 1-10** (orange color tab) -- This worksheet provides a table showing the effect of sample size on ratings for elements whose rating relies on the percentage of documents reviewed or interviews conducted that meet criteria. This table shows the number that must meet criteria for sample sizes ranging from 1 - 10 in order to receive the “High”, “Moderate”, and “Low” ratings. It is provided for information only.
- **Effective Sample Size 1-25** (orange color tab) -- This worksheet provides a table showing the effect of sample size on ratings for elements whose rating relies on the percentage of documents reviewed or interviews conducted that meet criteria. This table shows the number that must meet criteria for sample sizes ranging from 1 - 25 in order to receive the “High”, “Moderate”, and “Low” ratings. It is provided for information only.

#### **Helpful Hints.**

- **Colored Worksheet Tabs.** As noted in the preceding section, some of the worksheets in the file have different color tabs.
  - The **green-tabbed** worksheets are part of the Provider Monitoring Report and are printed and provided to the provider following the monitoring visit.
  - The **gray-tabbed** worksheets are the individual provider monitoring worksheets (Worksheet #1 through #6) that are completed by the reviewers during the monitoring visit. These worksheets contain the detailed information about the subelements and their ratings that are used to generate the green-tabbed summary report. These worksheets may also be printed and attached to the report to allow the provider to “drill down” for more details about how the ratings were derived.
  - The **orange-tabbed** worksheets are for internal LME use or information. They include a worksheet for entering identifying information about the provider and LME that automatically enters this information on other worksheets, a worksheet that provides summary information in a format that can be easily copied and entered into a database for tracking the results of monitoring for all providers, a score sheet for calculating points earned on the tool, and reference sheets providing rating choices and tables showing the effect of sample size on ratings.

- The **yellow-tabbed** worksheet identifies the worksheet that can be copied or moved to another file and used as a database for tracking the results of provider monitoring for multiple providers and reviews.
- **Use of Worksheet Protection.** Worksheet Protection has been turned on for each worksheet to protect formulas, links and important information from being inadvertently deleted or copied over. Cells where information can be entered have been unlocked to allow data entry when worksheet protection is turned on. Protection has been formatted to allow users to change the formatting for rows and columns without the need to turn protection off. For example users can hide/unhide columns or change the row height or column width (if needed) to adjust the way the worksheets print. On the database worksheet, the worksheet can be filtered and sorted while protection is on.

Worksheet Protection has not been password protected. It can be turned on and off at will. If it must be turned off for any reason, be careful not to change or delete anything important, and be sure to re-protect the worksheet as soon as possible.

- **Viewing the Worksheets Using Different Monitors.** Due to the use of text wrapping, the row heights on each worksheet vary depending on the content. This may pose a challenge to some users who may have small or low-resolution computer monitors. For individuals in this situation, some rows may appear to be almost as high as the screen making it difficult to smoothly scroll from row to row.

If this is the case and becomes a problem, reduce the percentage on the “zoom” shortcut button on the Excel toolbar to reduce the viewing size of the worksheet on the monitor. This will make each row appear smaller and may make it easier to scroll. Only the viewing size that appears on the monitor will be affected.

This technique can also be used to view more of the worksheet on the monitor. Adjusting the zoom on the Excel toolbar does not affect the size of the report that is printed. Adjusting the zoom is worksheet-specific and only affects the worksheet for which the zoom has been adjusted.

